

**USAID Climate Change Initiative  
FY01 Reporting Guidance  
For the FY 2001 Annual Report**

**December 2001**

This Reporting Guidance applies to all USAID Mission, Regional, and Global programs that obligated funds toward global climate change activities taking place in FY 2001 (October 1, 2000 through September 30, 2001).

**Global Climate Change Team  
Bureau for Economic Growth, Agriculture, and Trade  
U.S. Agency for International Development**

**For an electronic copy of this Guidance, or for additional information, please refer to the  
Climate Change Initiative web site:  
<http://www.genv.org/climate/performance.asp#ccirg>**

# USAID Climate Change Initiative FY01 Reporting Guidance

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## USAID Climate Change Initiative FY01 Reporting Guidance

December 2001

### PART I. INTRODUCTION

In 1998 USAID launched the Climate Change Initiative (CCI) to implement the Agency's climate change action plan for FY 1998-2002. This guidance requests results from activities achieved during FY 2001 (October 1, 2000 through September 30, 2001). This year's reporting is the fourth round for most operating units.

Under this guidance, **all operating units attributing funding to the Climate Change Initiative must prepare a Climate Change Annex to the ANNUAL REPORT.** The Annex includes: (1) a Narrative of key accomplishments (pg. 5), and (2) Data Tables providing information on climate change indicators (pg. 6). Electronic versions of both the narrative and data tables should be sent to [cstokes@usaid.gov](mailto:cstokes@usaid.gov). Please note:

- **Updates Since Last Year.** In response to Administrator Natsios' commitment to streamlined reporting, the number of indicators for climate change reporting has been decreased. *Changes have also been made to the data tables since last year.* Data concerning capacity building activities has been combined under the indicator for Result 1, "Increased Participation in the UNFCCC." Also, the indicator 'Area Where USAID has Achieved on the Ground Impacts' under Result 2, "Reduced Emissions from the Land Use/Forest Management Sector" has been omitted. However, the indicator 'Area Where USAID has Initiated Interventions' remains as part of Result 2.

Another significant change is the way that policy achievements are to be reported. If your program had a significant result regarding policy achievements and GCC, please record this fact by marking 'yes' under "USAID Objective 5: "World's environment protected," (box 10 of Table 1: Annual Report Selected Performance Measures). You can get this table of the Annual Report by going to <http://cdie.usaid.gov/ar> and downloading the "List of Selected Performance Indicators" under Supplemental Documentation and Resources. Then, ***please provide information about policy achievements in the GCC narrative.*** This new format eliminates the tables for policy advances and allows you to describe in more detail the factors that contributed to any significant achievements.

*There is also a new, optional category for the GCC narrative.* You are invited to provide a "human interest story" that highlights the positive impacts of a project/activity on a person, family, or community that USAID has supported. This category is optional, but important because it allows you to be creative in telling an interesting story of how USAID is affecting lives with projects that address sustainable development and climate change. The best and most complete stories will be highlighted in the final report of the Agency's climate change activities.

- Operating units should report on as many indicators as possible.

For additional information or assistance with reporting for the CCI, please contact:

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Copies of this **FY01 CCI Reporting Guidance, CCI Data Tables, and Narrative** can be downloaded directly from the Climate Change Initiative web site: [www.genv.org/climate/performance](http://www.genv.org/climate/performance).

## Who Must Report - Operating Units Required to Report FY01 GCC Activities

This guidance applies to all USAID operating units attributing resources to climate change-related activities in FY01 under the Climate Change Initiative.

*Key countries and regional programs are shown in **bold**.*

*\* Denotes the first year of reporting for a country or regional program under the Initiative.*

### AFR Region

**Central Africa Regional Program for the Environment (CARPE) – AFR/SD**  
FEWS -AFR/SD  
Guinea  
Madagascar  
Malawi  
Mali\*  
Mozambique  
RCSA\*  
**South Africa**  
Uganda

### ANE Region

Bangladesh  
Egypt  
**India**  
**Indonesia**  
Nepal\*  
**Philippines**  
South Asia Regional Initiative (SARI) - Energy  
U.S.-Asia Environmental Partnership (US-AEP)

### E&E Region

Armenia  
Bulgaria  
CEE Regional  
**Central Asia Republics (CAR)**  
Georgia  
Moldova  
NIS Regional  
Romania  
**Russia**  
Serbia\*  
**Ukraine**

### LAC Region

Bolivia  
**Brazil**  
**Central America Program (G-CAP)**  
Ecuador  
Guatemala  
Honduras  
LAC/RSD  
**Mexico**  
Nicaragua  
Panama  
Paraguay  
Peru

### Former Global Bureau

EGAD  
EGAT/ENV/EET  
EGAT/ENV/ENR  
EGAT/ENV/GCC  
EGAT/ENV/UP

## PART II. PREPARING THE NARRATIVE

All reporting units participating in the USAID Climate Change Initiative (CCI) must provide a narrative (maximum 4 pages) summarizing accomplishments of their climate change activities in FY01. The Climate Change Team draws heavily on these narratives when preparing the Agency's overall climate change report and when opportunities arise to tell our story. In addition, each submitted narrative will be posted on the CCI web site.

Reporting units should follow the narrative template provided. Examples of narratives from previous reporting years are available on the Climate Change Initiative website: [www.genv.org/climate/performance](http://www.genv.org/climate/performance).

## PART III. PREPARING INDICATOR DATA TABLES

**Introduction.** This part of the reporting guidance provides instructions for completing data tables. Data tables are provided separately from these instructions as a *Microsoft Excel* file. The instructions are divided into four sections corresponding to the CCI results, each of which includes one or more indicators. The four CCI results are:

1. Increased participation in the UN Framework Convention on Climate Change (UNFCCC);
2. Reduced greenhouse gas emissions from the land use/forest management sector;
3. Reduced greenhouse gas emissions from the energy sector, industry and urban areas; and
4. Reduced vulnerability to the impacts posed by climate change.

These instructions describe the method for reporting each indicator, including such information as the indicator unit of measurement, definitions of terms, codes for use in the data tables, and reporting examples. All data tables should be completed in *Microsoft Excel*.

**Data Entry.** All climate change data tables are contained in the file *FY01 CCI Data Tables.xls*. The instructions for entering data in each table in this electronic file are provided below by result and indicator. Please fill in only the **yellow cells** of each table, as appropriate. Cells in gray provide **examples** of properly entered data.

**Viewing the Data Tables in Microsoft Excel.** If part of the table is off the screen, you can move the table from right to left on the screen using the *horizontal* scroll bar (near the bottom of the screen to the right). Depending on the size of your computer monitor, it may be necessary to adjust the “view” of some spreadsheets to better view the text of the data tables, or to view more of the table at once. To do so, click on the “Zoom” box on the right-hand side of the toolbar. Select the appropriate size, or type the number in by hand, depending on your preference.

**Scrolling through the Data Tables.** Each data table is contained on a single spreadsheet. Tabs for each spreadsheet are shown near the bottom of the screen. You can use the arrows to the left of the tabs, or the tabs themselves to select each spreadsheet as you complete each table.

**Incremental (Annual) Reporting.** Please note that all reporting of FY01 climate change activities should be done on an incremental (annual) basis, that is, **report only those activities initiated, completed, or otherwise taking place during FY01 (October 1, 2000 through September 30, 2001)**. Thus, no reporting should reflect results that have been achieved on a cumulative basis (measuring progress from the baseline year or previous years). (Note: This does **not** apply to Missions for which FY01 is the first year of climate change reporting.)

*Examples:* Under Result 3, Indicator 1 (energy sector), a Mission may report that a three-year project has saved 5,500 MW-h through energy efficiency improvements during FY01, but should not

report the total savings over the life of the project.

On the other hand, under Result 2, Indicator 1 (land use/forestry sector), a Mission should report the total number of hectares where it has been active in FY01. Thus, if a Mission's activities produced results in 109,000 hectares of a biosphere reserve in FY01, and in 125,000 hectares of the same reserve in FY01, the Mission should report the total 125,000 hectares for FY01.

Likewise, capacity building activities and leveraged funding should also reflect progress made in FY01 only, and not cumulatively over a longer period.

**Providing Mission or Program SO.** Each indicator table includes a column to report the Strategic Objective (SO) number for each activity, enabling more systematic program reporting and analysis Agency-wide.

## BACKGROUND INFORMATION

Excel Sheet: Background

**Instructions:** Please provide background and contact information in Table 1. This information is essential for follow-up coordination and communication on climate change reporting between AID/W and reporting units.

## RESULT 1

### Increased Participation in UN Framework Convention on Climate Change (UNFCCC)

**Result 1 Indicator.** There is now only one indicator measuring Result 1. Information under the "policy advances" indicator used in the previous years (table 1.1) has been omitted and is now reported in the GCC narrative section.

#### Result 1, Indicator 2

Excel Sheet: 1.2 Capacity

#### *Increased Capacity to Meet Requirements of the UNFCCC*

**Instructions:** This indicator tracks capacity building efforts. *This year, the capacity building tables have been combined to include information about UNFCCC participation, land use/forestry, and the energy/industrial/urban sectors. The combined table, Table 1.2, also includes information about technical assistance and training, the types of institutions strengthened, the names of those institutions, and the S.O. number associated with these activities.* If an activity category involves both training and technical support activities, combine the numbers for both training and technical assistance and enter the total number of activities in the column.

## RESULT 2

### Reduced Net Greenhouse Gas Emissions from the Land Use/Forest Management Sector

**Result 2 Indicators.** There are now only two indicators measuring Result 2. These indicators track land use/forestry activities (Table 2.1), and leveraged funding (Table 2.4). Information previously required for tables 2.5a, and 2.5b has been moved to Table 1.2. Tables 2.2 and 2.3 have been omitted.

#### Result 2, Indicator 1

Excel Sheet: 2.1 Land Use

#### **Area where USAID has initiated interventions to Preserve, Increase, or Reduce the Rate of Loss of Carbon Stocks**

**Instructions:** Table 2.1 identifies activities where USAID has initiated land use and forestry activities. In

this table, please indicate the activity name, the location of the activity, results for Indicator 1, the appropriate SO numbers for each activity, and a short description of the activity as justification. Under the column for Indicator 1, enter the appropriate code for principal activity type and vegetation type. (Please refer to the list of codes in this guidance and in Table 2.1 for "USAID-supported activities," their definitions, and "predominant vegetation types.") To ensure our information is complete, please fill in all the boxes that apply. We understand that some of the quantitative information you provide may be estimates based on your best judgement. Specific instructions for reporting this Indicator are provided below.

**Unit: Hectares**

In order to capture the full scope of USAID land use activities, please report in the column for Indicator 1 the area (in hectares) of land where USAID has initiated interventions to maintain or increase carbon stocks or reduce their rate of loss. These activities include on-the-ground carbon impacts that may or may not have been realized, including *one or more* of the following:

- developing resource or land management plans;
- engaging community or household participation in program implementation;
- initiating resource management;
- putting monitoring and evaluation systems in place; and
- addressing site-specific policy constraints

**Definitions: Type of Activity**

***Conservation of Natural Ecosystems*** - Conservation of any areas that have not experienced serious degradation or exploitation of biomass, and without significant harvest of biomass. This includes protected areas, areas used for the extraction of non-timber forest products, and community-managed forests with minimal timber extraction. Areas where non-timber forest products are harvested can be counted in this category but *not* those that are managed for timber.

***Sustainable Forest Management for Timber, using Reduced Impact Harvesting (RIH)*** - A timber management activity will be considered to have a positive impact on carbon (relative to conventional methods) if it employs RIH practices and/or other key criteria. RIH is a package of practices proven to minimize environmental damage and carbon emissions during the logging of natural tropical forest. To be included as RIH, an activity must include most of the following practices:

- tree inventorying, marking and mapping;
- careful planning and marking of skidder trails;
- vine cutting prior to harvest, where appropriate;
- directional felling of trees;
- appropriate skidding techniques that *employ winching* and best available equipment (rubber tired skidder/animal traction) to minimize soil damage;
- proper road and log deck construction;
- a trained work force and implementation of proper safety practices;
- fire mitigation techniques (fire breaks);
- existence of a long-term management plan.

Report on the area where government, industry or community organizations are carrying out forest management for commercial timber using the techniques above, or forest management areas that have been "certified" as environmentally sound by a recognized independent party. *Only the area where sound planning and harvesting is being currently practiced should be included (not the whole concession or forest).*

**Agroforestry** covers a wide variety of land-use systems combining tree, crop and/or animals on the same land. Two characteristics distinguish agroforestry from other land uses: 1) it involves the *deliberate* growing of woody perennial on the same unit of land as agricultural crops and/or animals either spatially or sequentially, and 2) there is *significant interaction* between woody and non-woody components, either ecological or economical. To be counted, at least 15 percent of the system must be trees or woody perennials grown for a specific function (shade, fuel, fodder, windbreak).

Report the area of land under an agroforestry system in which a positive carbon benefit is apparent (i.e., through the increase in biomass, litter or soil organic matter). *Do not include agroforestry systems being established on forestlands that were deforested since 1990.*

**Reforestation/Afforestation** - The act of planting trees on deforested or degraded land previously under forest (reforestation) or on land that has not previously been under forest according to historical records (afforestation). This would include reforestation on slopes for watershed protection; mangrove reforestation or reforestation to protect coastal areas; commercial plantations and community tree planting on a significant scale, and/or the introduction of trees in non-forested areas for ecological or economic purposes.

Report the area under reforestation or afforestation (i.e., plantation forests and/or community woodlots). *Do not include natural forested areas that have been recently deforested for the purpose of planting trees. Do not include tree planting in agroforestry systems (include this under agroforestry).*

**Sustainable Agriculture** - Agricultural systems that increase or maintain carbon in their soil and biomass through time by employing certain proven agricultural practices known to reduce carbon transport or emission. This will require consideration of soil, water and nutrient/crop management. *Do not include agricultural systems being established on lands deforested since 1990.* For reporting purposes, sustainable agriculture systems are those that employ or promote *at least three* of the following:

- no-tillage or reduced tillage
- erosion control/soil conservation techniques, especially on hillsides
- perennial crops in the system
- higher crop yields through better nitrogen and soil management
- long-term rotations with legumes
- the use of organic mulches, crop residues and other organic inputs into the soil
- better management of agrochemicals, by stressing careful fertilizer management that will increase yields while minimizing the use of petro-based agrochemicals, which increase emissions.

## Codes for Result 2, Indicator 1

For each site where USAID has initiated activities, choose an activity code from the list below to best describe your program. *If more than one activity code applies to a site, please use a separate row to describe each activity.* (Note: for agroforestry and sustainable agriculture activities, there is no need to enter a vegetation type code.)

### Codes for USAID-Supported Activities

- 1 Conservation of natural ecosystems (may include protected area management, extraction of non timber products, etc. but *not* timber harvesting)
- 2 Sustainable forest management for timber using reduced-impact harvesting (non-timber forest products may also be harvested)
- 3 Afforestation/reforestation/plantation forests



- 4 Agroforestry
- 5 Sustainable agriculture

***Codes for Predominant Vegetation Types***

*Ecosystems:*

- a Tropical evergreen forest
- b Tropical seasonal forest
- c Temperate evergreen forest
- d Temperate deciduous forest
- e Boreal forest
- f Temperate woodland
- g Tropical open forest/woodland
- h Tropical grassland and pasture
- i Temperate grassland and pasture
- j Tundra and alpine meadow
- k Desert scrub
- l Swamp and marsh
- m Coastal mangrove
- n Wetlands
- o Mediterranean forest / vegetation

**Result 2, Indicator 4**

**Excel Sheet: 2.4 Funding**

***Value of Public and Private Investment Leveraged by USAID for Activities that Contribute to the Preservation or Increase of Carbon Stocks and Reduction of Greenhouse Gas Emissions***

**Unit:** U.S. dollars

**Instructions:** Please provide the dollars leveraged *directly or indirectly*, as appropriate, through agreements with USAID partners in the land use and forestry sectors. For each activity, include a description (title) of the activity, the source of leveraged funds (i.e., name of partner), the amount of funding leveraged, and the SO numbers for that activity. *Due to the variety of ways that dollars leveraged may be calculated, please include a brief description of your methodology.* Please refer to the following list of definitions for guidance on how to report public and private investment leveraged in the land use/forestry sector

**Definitions:**

***Directly Leveraged Funding*** – Funding leveraged directly in support of USAID activities and programs includes:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

***Indirectly Leveraged Funding*** – Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

## RESULT 3

### Reduced Net Greenhouse Gas Emissions from the Energy Sector, Industry and Urban Areas

**Result 3 Indicators.** There are three indicators measuring Result 3. Indicators under Result 3 track carbon dioxide equivalents avoided (Table 3.1), strategies/audits completed (Table 3.4), and leveraged funding (Table 3.5). Tables 3.3, 3.6a, and Table 3.6b have been omitted.

#### Result 3, Indicator 1

#### Excel Sheet: 3.1 Emissions Avoided

*Emissions of Carbon Dioxide (CO<sub>2</sub>) Equivalents Avoided, due to USAID Assistance (measuring Carbon Dioxide, Methane, and Nitrous Oxide)*

**Unit:** MW-hrs or BTUs (AID/W will determine metric tons of carbon dioxide equivalents avoided)

**Instructions:** For each activity contributing to Result 3, Indicator 1, write a brief description of the activity in the first column, and write the result in the appropriate reporting columns that corresponds to this activity. For columns under 3.1A, 3.1B, 3.1C, and 3.1D, please report data relating to *either* MW-hrs or BTUs produced, and then the fuel type replaced. For columns under 3.1E and 3.1F, please indicate the tons of methane captured or nitrous oxide avoided, respectively. USAID/W will make the necessary conversions from these results to obtain the metric tons of carbon dioxide equivalents avoided. Also, please indicate the SO number for each activity.

#### Result 3, Indicator 4

#### Excel Sheet: 3.4 Audits

*Strategies/Audits that Contribute to the Avoidance of Greenhouse Gas Emissions*

**Unit:** Number

**Instructions:** Please describe the activity in the first column (e.g. “industrial pollution prevention and energy efficiency auditing in metal finishing”). In the second column, indicate the number of industrial firms/municipalities that have undertaken audits or developed greenhouse gas reduction strategies. Also, please indicate the SO number for each activity.

#### Result 3, Indicator 5

#### Excel Sheet: 3.5 Funding

*Value of Public and Private Investment Leveraged by USAID for Activities that Reduce Greenhouse Gas Emissions*

**Unit:** U.S. Dollars

**Instructions:** Please provide the dollars leveraged *directly or indirectly*, as appropriate, through agreements with USAID partners in the energy sector, industry, and urban areas. For each activity, include a description (title) of the activity, the source of leveraged funds (i.e., name of partner), and the amount of funding leveraged. *Due to the variety of ways that dollars leveraged may be calculated, please include a brief description of your methodology.* Please refer to the following list of definitions for guidance on how to report public and private investment leveraged in the energy sector. Also, please indicate the SO number for each activity.

**Definitions:**

***Direct Leveraged Funding*** – Funding leveraged directly in support of USAID activities and programs includes:

- funding leveraged from partners for joint USAID activities;
- funding for activities in which USAID developed enabling policies, regulations, or provided pre-investment support (prorated);
- obligated or committed funding for direct follow-on MDB loan programs (prorated);
- obligated or committed funding for direct follow-on private-sector funded programs that reach financial closure (prorated);
- joint implementation investments;
- Development Credit Authority investments.

***Indirect Leveraged Funding*** – Funding dedicated by other donors or governments to replicate programs that USAID initiated, but which USAID does not or will not itself fund.

**Result 4****Excel Sheet: 4 Vulnerability*****Reduced Vulnerability to the Threats Posed by Climate Change***

**Instructions:** This indicator is meant to provide general information about USAID programs that reduce vulnerability to the threats posed by climate change. These programs should be described in the following areas: coastal zone management; disaster preparedness; agriculture and food security; and biodiversity and forestry. (See definitions below.) We recognize that there may be some overlap between each area. Please include each activity in only one place and include a reference to other relevant categories in your brief description. Codes are provided below to match types of programs with each key vulnerability area.

**Definitions - Key Areas:**

- Coastal Zones** - Number of programs that are reducing the vulnerability of coastal populations, infrastructure, habitats and living resources to accelerated sea level rise or other environmental changes associated with climate change (e.g., water availability, resource availability, temperature).
- Emergency Preparedness** - Number of programs that are increasing ability to cope with and minimize the damage from natural disasters (e.g., drought, famine, disease outbreaks) through surveillance, early warning, emergency preparedness, capacity building, etc.
- Agriculture and Food Security** - Number of programs that are increasing adaptability and resilience of agriculture and food systems to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., crop diversification, water conservation and delivery, flexible market and trade systems).
- Biodiversity/Natural Resources** - Number of programs that are increasing the adaptability of natural ecosystems and levels of biodiversity to changes in temperature, water availability, pest and pathogen presence or prevalence, soil moisture and other changes in environmental parameters (e.g., establishment of biological corridors, habitat conservation, preservation of ex situ germplasm).
- Human Health and Nutrition** - Number of programs that are reducing vulnerability to climate change through improved access to and quality of health services, vector control, nutrition and environmental health interventions.

## **Codes for Tracking and Recording Vulnerability Programs**

<b>Key Area</b>	<b>Program Types</b>
i. Coastal Zone	1. Urban/Infrastructure 2. Natural Resource
ii. Disaster Preparation Relief	1. Early Warning System 2. Humanitarian Response 3. Capacity Building
iii. Agriculture & Food Security	1. Research and Development 2. Policy Reform 3. Extension/Demonstration
iv. Biodiversity & Forestry	1. Preservation of Biodiversity 2. Forest Conservation
v. Human Health and Nutrition	1. Improved Quality of Health Services 2. Vector Control 3. Improved Nutrition

**\* \* \* End of FY01 CCI Reporting Guidance \* \* \***